Grantsmanship 101
Research and Grant Writing
Friday, October 14, 2011

Victoria Schneider Lake
Director, Market Research and
Community Development
West Tennessee Healthcare

Grant and Proposal Writing

What will this workshop cover?
- sources and finding grant funds
- community strategies for grant writing
- how to read request for proposals
- proposal planning
- components of a proposal
- common problems in grant writing

Sources and Finding Grant Funds:
Federal Grants

Types of Federal Grants
- categorical grants: chief form of federal grants between 1962 and 1995 the number grown from 160 to 500; for special purposes and two types:
  - project categoricals: used for supporting demonstration programs, research, and economic development
  - formula-based categoricals: use payments for general stimulation, equalization; many federal-state intergovernmental transfers or federal government to individuals such as social security payments or unemployment

Sources and Finding Grant Funds: Federal Grants

Types of Federal Grants

- block grants: or special revenue sharing; created to give recipient governments broad program discretion and reporting at a minimum; examples:
  - matching grants: federal government will provide 100% of the funding but requires state to put up funds in order to receive the federal share
  - transfer payments: through transfer funds are delivered to the grantee-this kind of grant requires dual responsibility from Dept. of Treasury and OMB in addition to the granting agency

---

Sources and Finding Grant Funds: Federal Grants

- Federal Register: published five days a week; available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402; available over the internet: **fedreg@LISTSERV.ACCESS.GPO.GOV**
- www.grants.gov
- Federal Assistance Monitor and Community Health Funding Report: produced by CD Publications twice monthly; 8204 Fenton Street, Silver Springs, MD 20910, 301-588-6380; www.cdpublications.com

---

Sources and Finding Grant Funds: Federal Grants

- **Federal Management Circulars: basic regulations on how money may be spent; for municipalities, universities**
- **Catalog of Federal Domestic Assistance: Office of Management and Budget of the Executive Office of the President, Room 3002, New Executive Office Building, Washington, DC 20503**

Sources and Finding Grant Funds: Private Grants

Types of Foundations
- General Purpose Foundations: large foundations
- Special Purpose Foundations: giving to specific area of interest
- Corporate or Company Foundations: many times overlooked
- Family Foundations: set up and controlled by donor and the family
- Community Foundations: usually within a specific geographic area
- wealthy people: give for tax-deductions

Sources and Finding Grant Funds: Private Grants

- The Foundation Center: 800-424-9836
  79 Fifth Avenue, New York, NY 10002
  - The Foundation Directory
  - Foundation Grants to Individuals
  - Corporate Foundation Profiles
  - Grants for Hospitals and Medical Care Providers
  - Guide to U.S. Foundations, Their Trustees, Officers and Donors
  - Foundation 1000
  - National Directory of Corporate Giving
  - FC Search: The Foundation Center's Database on CD-ROM

Sources and Finding Grant Funds: Private Grants

- Chronicle of Philanthropy: published biweekly by the Chronicle of Higher Education, P.O. Box 1989, Marion, OH 43306-4089, 800-728-2819; $67.50/yr. http://philanthropy.com; information on books, deadlines, foundation annual reports, fund raising, giving, grants, managing, coming events, employment opportunities

Sources and Finding Grant Funds: Private Grants

Matching Needs With Foundation Funding
- geography
- funding history
- guidelines
- idea meet foundation program priorities
- check limitations on funding
- public agencies or 501 (c)(3)
- clear request
- spend money for original purpose

Community Strategies for Grant Writing

Coordination, Cooperation, Collaboration
- coordination: a process of linking functions of autonomous entities in an effort to achieve the most efficient results and avoid duplication
- cooperation: a process of associating and acting together for mutual benefit
- collaboration: a process of working jointly with others, including those with whom one is not normally or immediately connected to develop and achieve common goals

---

Community Strategies for Grant Writing

Coordination, Cooperation, Collaboration
- vision and relationships
- structure, responsibilities, and communication
- authority and accountability
- resources and rewards

Community Strategies for Grant Writing

Coordination
- interaction is around one specific task; individual relationships supported by the organizations
- organizations involved take on needed roles but function independently of eachother
- some specific project planning required; communication roles established
- authority rests with individual organizations; some sharing of leadership; some shared risk but most on individual organizations
- resources are acknowledged and made available for specific projects; rewards mutually acknowledged

Community Strategies for Grant Writing

Cooperation
- basis is between individuals; organizational goals and missions not considered; interaction as needed
- relationships informal; no joint planning; information on an as needed basis
- individual organizations retain authority; leadership remains in each organization and they continue to act independently
- resources are separate and continue to meet needs of individual organization

Community Strategies for Grant Writing

Collaboration
- commitment of organizations behind their representatives; common new mission and goals are created; projects for long-term gain
- new organizational structure or new roles created; comprehensive planning including developing new strategies, many levels of communication established between different levels of staff
- authority determined together and is balanced by members of organization; leadership dispersed and control is shared; equal risk by all organizations
- resources pooled; organizations share in products; more accomplished on a joint basis

5

Community Strategies for Grant Writing

- power struggles
- wrong people
- low trust
- vague vision & focus
- incomplete desired results & strategies
- lack of clear authority

- address power needs
- choose new people
- enhance trust
- strengthen & focus
- revise desired results & strategies
- clarify authority

Community Strategies for Grant Writing

Structure for Collaboration

- initiate, set up, and lead meetings
- gatekeeping
- surface conflicts and problems
- record and distribute meeting summaries and agreements
- communicate information
- manage logistics
- monitor activities
- reward members

How to Read Requests for Proposals: Federal and State Applications

- ⊡ check for order of application contents
- ⊡ specifications for typing: font, size type, double-or single-spaced, margins, page limits
- ⊡ memorandums of understanding
- ⊡ budget forms
- ⊡ budget narrative
- ⊡ signed assurances and certifications
- ⊡ due date specification
- ⊡ number of copies and original
- ⊡ address to send application
- ⊡ telephone or e-mail for questions

How to Read Requests for Proposals: Federal and State Applications

- introduction and history of funding
- look for key words such as "joint initiative", "must", "exceed", "allowable", "unallowable", "goals"--these may be in italics or underlined
- look for specified funding period
- look for goals of program
- eligibility requirements
- areas of consideration: check if only can apply under one or each have separate applications
- look for $ amount for request
- review references if given

How to Read Requests for Proposals: Federal and State Applications

- follow application headings exactly in the narrative
- use numbering system if application uses numbering--easier for reviewers to follow
- review allowable and unallowable costs
- complete all required forms
- Tennessee does not have state single point of contact
- supplementing and supplanting: grant funds may not be used to replace state or local funds or grant funds may not be used to defray any costs that recipient is already obligated to pay; cannot refund equipment already purchased

How to Read Requests for Proposals: Federal and State Applications

Application deadlines

- submit applications postmarked by certain date
- applications must be received by 4:30 p.m. E.S.T on certain date
- applications shall be considered as meeting the deadline if they are either:
    - received on or before the deadline date; or
    - sent on or before the deadline date and received in time for submission to the independent review committee. For proof of timely mailing, applicants must request a legibly dated US Postal Service postmark or obtain a legibly dated receipt from a commercial carrier or the US Postal Service. Private metered postmarks will not be acceptable as proof of timely mailing

How to Read Requests for Proposals: Foundation Proposals

- usually short in length
- specific focus
- general guidelines for eligibility and funding procedures
- examples of projects that will be and will not be funded
- grant procedures: follow page limitations, dates of submission, telephone or visit with idea if Foundation allows you to do so

---

Proposal Planning

Is proposal writing for you?
- How much will the application cost?
- Chances of success?
- Will cost-sharing or matching funds be required?
- Does the project fit the organization's mission?
- Is there someone in the organization that makes the decision to apply?
- Organizational resources?
- Grant-getter Vs proposal-writer?

Proposal Planning

Characteristics of Fundable Ideas
- idea new and innovative
- potential to be cost effective
- local funds available to continue
- clear need documented
- idea is timely

Components of a Proposal

- title
- amount requested $
- purpose of request
- organizational info
- problem or need statement
- proposed project
- goals and objectives
- methodology for implementation
- time frame
- evaluation
- cost/itemized budget
- future funding
- appendices

Components of a Proposal

Statement of the Problem or Need

- ▣ reason for writing the proposal; condition for which you want to change
- ▣ use demographics for specific geographic area
- ▣ relate to goals and objectives
- ▣ objective evidence of problem or need
- ▣ state with a focus on people to be served not on organization
- ▣ use statistics from reliable sources; use data and fact not anecdotal info; use comparable statistics; document source for statistics; focus on geography you will serve

Components of a Proposal

Statement of the Problem or Need

- according to........
- Always quantify if you can
- identify a target area
- what is causing the problem and be sure to have data to support
- this is the basis for your entire proposal; all other components will tie back to the problem or statement of need

Components of a Proposal

Goals and Objectives

- goal: global statements of long range benefits and tied to the overall mission of the organization--derived from a properly constructed problem statement and states what will be done to solve the problem; examples:
  - reduce health issues in the target area
  - prevent seasonal unemployment of agricultural workers in Madison County
  - reduce the dropout rate in the target city
  - the homebound elderly in Weakley County will live with dignity and independence in their own homes

Components of a Proposal

Goals and Objectives

- objective: measurable, time-specific, result that the organization expects to accomplish; specific, measurable, attainable, realistic, time-measured
- define who will be served and when; tie to need/problem statement
- provide the basis for the project evaluation
- time frame for project implementation
- key words: to reduce, to increase, to decrease, to expand
- answer who, what, when, how much

Components of a Proposal

Goals and Objectives

- outcome and process objectives
- examples:
  - after 12 months of project operation, 500 of the 2,300 nurses in Colorado will be certified in counseling techniques
  - after 12 months of project operation, the number of student drop outs will decrease to 150 or 2.5% of the student population
  - the program will increase social service referrals by 75% during 1994-1995

Components of a Proposal

Method, Methodology, or Project Implementation
- should be reasonable in activities
- indicates how objectives will be accomplished in a step-by-step plan
- divide into tasks and subtasks, resources needed, start and finish dates

Components of a Proposal

Staffing
- paid, volunteers, contracted consultants
- number of staff by position
- qualifications
- full or part-time
- level of expertise
- educational and practical experience
- job descriptions
- project manager

Components of a Proposal

Evaluation
- one of the hardest sections to write; this is the section that many proposals are doomed to fail
- key is to write good objectives
- tell the reader for each objective:
  - how you are going to collect the data
  - how you are going to analyze it
  - who will be responsible

Future Funding
- how will the project be supported after grant funding; consider fee for service, other funders, greater internal supports

Components of a Proposal

Program Budget
- complete all forms; follow directions
- estimate costs very carefully
- build in increases if possible in multi-year budget
- check match or cost sharing
- indirect costs?
- Check budget figures to those in budget narrative
- establish a budget period
- list items in fringe benefits; express as a percentage of salaries

Components of a Proposal

Program Budget

Item	Federal	In-Kind/Cash	Total
personnel			
subtotal			
FB (%)			
total personnel			
other direct costs			
supplies			
communication			
travel			
equipment			
printing			
other			
subtotal			
TOTAL			

Components of a Proposal

Introduction
- write last; limit from one paragraph to two pages and include:
  - name of organization
  - location and legal status
  - target population
  - programs
  - accomplishments
  - personnel
  - link to need
  - date of origin of agency

Components of a Proposal

Proposal Summary

- one page; write last
- identify applicant
- qualifications to carry out project
- purpose of grant
- collaborative partners and fiscal agent
- anticipated start and end date
- amount of $ requested
- total project budget including cash and in-kind amounts

Components of a Proposal

Cover Letter

- addressed to program officer
- write on organization stationary
- signed by top official
- tell who is making request
- purpose of the request
- $ amount
- summarize proposal
- name, address, telephone, email of contact person
- list enclosures

Components of a Proposal

Letter of Inquiry

- 2-3 pages
- purpose to ascertain funder's interest in project before submitting full proposal
- purpose of letter
- information on organization
- problem/need to be addressed
- main idea
- approximate cost
- request opportunity to submit full proposal

Components of a Proposal

- table of contents
- appendices
  - listed in table of contents
  - letters of support
  - non-profit status
  - charter, board of directors, resumes, job descriptions
- title page
  - project title
  - project director, address, telephone
  - name of submitting agency
  - name of funder, dates, $ requested

Common Problems in Grant Writing

- too much space on the entire organization and not enough on the department that will be running the program
- use quotes, numbers, situational questions in introduction-get the reader excited
- need should be stated in terms of those served in the grant not an agency need-USE STATISTICS
- review the literature
- show why the need cannot be met unless you get funding
- be sure to have measurable objectives
- have more than one objective
- use a timeline-easier to understand
- restrict evaluation to project not entire agency

Common Problems in Grant Writing

- explain all budget items in the text
- send correct number of copies requested
- name project director
- always have someone read the proposal
- read instructions
- be sure budget balances
- complete all spaces on application forms
- each section in project narrative should stand on its own
- collaboration
- substantiate need with data and facts
- begin each section in project narrative with strong, concise statement

Common Problems in Grant Writing

- never put in a binder
- read instructions for staple or binder clip
- talk about community support
- read instructions about ink color for executive to sign
- stay in guidelines for length, font, spacing, margins
- no videotapes
- use cover letter if allowable
- state purpose at beginning
- put everything in a package
- congressional support